

# REPORTING

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### \*\*\* REMINDER:

The term “Unit(s) of General Local Government” which is also referred to by its acronym “UGLG(s)”, and the term “Grantee(s)” are used inter-changeably throughout this Implementation Handbook. \*\*\*

## CHAPTER 9: REPORTING

### INTRODUCTION

This Chapter provides overview of the Federal and State reporting requirements related to CDBG Program. It is important to follow each of the formats of reporting listed in this handbook.

The CDBG-Public Facilities Program must report accomplishments semi-annually. However, some reports may be due every year, such as Single Audit Report. The Division of Housing (DOH) Grant Agreement will designate due dates and benchmark of your program. The Grantees are required to follow the Grant Agreement timeline.

Please review Attachment 9-F for more information on required reporting forms and deadlines. Please make sure you review this document and please refer to other Chapters to make sure your reporting contains all necessary information.

The timeliness of the reporting is critical to maintain project compliance and to continue the reimbursement process. **Lack of timely reporting will impact processing of Grantee's payment requests.**

#### **IMPORTANT REMINDER!**

Failure to complete & submit all required reports in a timely manner will impact the processing of Grantee's payment requests.

### SEMI-ANNUAL REPORTS

Semi-Annual Reports are required and necessary to provide updates on the status of the project to the DOH. In addition, HUD monitors the States to report accomplishments promptly. Failure to provide timely updates/accomplishments by the State of Wisconsin will result in "flagging" CDBG activities by HUD and cause additional remediation of outstanding activities. The Unit of General Local Government (UGLG) is strongly encouraged to follow their Grant Agreement timeline and scope of work to provide accurate and timely information about the project.

The semi-annual reporting requirement begins when the UGLG receives a copy of the fully-executed (i.e. “fully signed”) Grant Agreement from DOH, and continues until the UGLG has completed full Financial and Administrative Closeout of the grant.

The reporting periods and due dates for the Semi-Annual Reports are as follows:

- For the period of **April 1<sup>st</sup> through September 30<sup>th</sup>** – the report is due **no later than October 15<sup>th</sup>**!
- For the period of **October 1<sup>st</sup> through March 31<sup>st</sup>** – the report is due **no later than March 15<sup>th</sup>**!

### IMPORTANT REMINDER!

The semi-annual reporting requirement begins when the UGLG receives a copy of the fully-executed Grant Agreement from the Division of Housing (DOH), and it continues until the Unit of General Local Government (UGLG) has completed full Financial & Administrative Closeout of the Grant Agreement.

The following required Semi-Annual Report Forms are attached to this Chapter:

- **Semiannual Report Certification** (see Attachment 9-A for the sample form, blank form, and instructions).
- **Summary Narrative** (see Attachment 9-B for the sample form, blank form, and instructions);
- **MBE/WBE Report** (Attachment 9-D); and
- **Section 3 Report** (Attachment 9-C)

If sub-recipients are involved in the project, it is the responsibility of the Grantee to monitor the performance of the subrecipients during the contractual performance period. It is the responsibility of the Grantee to submit reports to DOH.

## SINGLE AUDIT REPORT

In addition to semi-annual reports, the Grantee must establish whether the Single Audit requirements listed in Circular A-133 applies (please refer to Chapter 11, Single Audit). Please submit **Statement Letter** (sample included in Chapter 11, Attachment 10-A OR 10-B) by January 15<sup>th</sup> of each calendar year for the duration of the Grant Agreement.

Further instructions on how to submit a full Single Audit Report are included in Chapter 11.

## LABOR STANDARDS REPORT

The U.S. Department of Labor (USDOL) requires Federal agencies administering programs subject to Davis-Bacon and Related Act (DBRA) and Contract Work Hours and Safety Standards Act (CWHSSA) to furnish a **Semi-annual Labor Standards Enforcement Report**, even if the number of hours worked for the reporting period are equal to zero. (See *Attachment 9-C* for the blank Semi-Annual Labor Standards Enforcement Report form and instructions).

The report is due to DOH on **March 25<sup>th</sup> and September 25<sup>th</sup>** and prior to the deadlines of semi-annual reporting. If there is additional activity between March 25<sup>th</sup> and March 31<sup>st</sup>, Grantee may include this information with the next report due on September 25<sup>th</sup>.

## EQUAL OPPORTUNITY

The CDBG Implementation Handbook designated Chapter 6 to describe requirements related to Civil Rights Laws, including Equal Opportunity and Fair Housing. Please refer to Chapter 6 for more information.

The Equal Opportunity Report is comprised of two parts:

- MBE/WBE Report (Attachment 9-D) – due with the Semi-Annual Report, and
- Fair Housing Report (Attachment 10-C) – follow your Grant Agreement timeline for a due date.

## SECTION 3 REPORT

The Section 3 program requires that recipients of certain HUD financial assistance, to the greatest extent feasible, provide job training, employment, and contracting opportunities for low- or very-low income residents and for low- or very-low income businesses in connection with projects and activities in their communities. Section 3 Report (Attachment 9-E) is also required with the Semi-Annual Report.

More information on Section 3 requirements is included in Chapter 6.

## SUBMITTAL

The DOH strongly suggests electronic submittal(s) but paper copies are acceptable (one copy). There is no need to mail originals, if you submit reports by email. However, originals must be kept in the Grantee's project files.

Email Submittals: [doadohcdbg@wi.gov](mailto:doadohcdbg@wi.gov)  
Mail: CDBG-PF Program (Your Representative's Name)  
Division of Housing – Bureau of Community Development  
P.O. Box 7970  
Madison, WI 53707-7970

***Disclaimer: Please note that the reporting requirements are subject to changes at any time during the performance period per HUD requirements.***

## ATTACHMENTS

Attachments for this Chapter can be found on the following pages.

## ATTACHMENT 9-A: GRANTEE SEMI-ANNUAL REPORT CERTIFICATION INSTRUCTIONS

### GRANTEE SEMI-ANNUAL REPORT CERTIFICATION INSTRUCTIONS

#### Instructions:

1. Enter the name of the grantee, CDBG contract number, business name (for PFED projects only), and the reporting period end date.
2. Indicate which semi-annual report documents are attached.
3. The preparer must sign and date the “Preparer Certification.”
4. Submit **one** copy to DOA.

## ATTACHMENT 9-B: SAMPLE – GRANTEE SEMI-ANNUAL REPORT CERTIFICATION

### Wisconsin's Community Development Block Grant Program

A. NAME OF GRANTEE Village of Yourville
B. GRANT AGREEMENT # FY00-0000
C. BUSINESS NAME Not Applicable
D. REPORTING PERIOD ENDED September 30 or March 31

SUBMIT **ONE** COPY  
(unless it is being e-mailed or faxed)

SEMI-ANNUAL REPORT DOCUMENTS ATTACHED:	
X	<i>Grantee Semiannual Report Certification (Attachment 9-A)</i>
X	<i>Summary Narrative (Attachment 9-B)</i>
X	<i>Semiannual Labor Standards Enforcement Report (Attachment 9-C)</i>
	<i>Business Matching Funds Journal (PFED Only) (Attachment 8-F)</i>
X	<i>WBE/MBE Report (Report Only) (Attachment 9-D)</i>
X	<i>Section 3 Report (Attachment 9-E)</i>

PREPARER CERTIFICATION	
I hereby certify that to the best of my knowledge and belief the contents in this report are true and correct.	
Signature <span style="float: right; font-family: cursive; font-size: 1.2em;"><i>Mary Smith</i></span>	Date <span style="float: right; font-family: cursive; font-size: 1.2em;"><i>1/2/2013</i></span>
Title <span style="float: right; font-family: cursive; font-size: 1.2em;"><i>Grant Administrator</i></span>	Telephone <span style="float: right; font-family: cursive; font-size: 1.2em;"><i>123/456-7890</i></span>
Company <span style="float: right; font-family: cursive; font-size: 1.2em;"><i>ABC Company</i></span>	Email <span style="float: right; font-family: cursive; font-size: 1.2em;"><i>msmith@email.com</i></span>

GRANTEE APPROVAL	
Grantee Signature	Date

ATTACHMENT 9-C: TEMPLATE – GRANTEE SEMI-ANNUAL REPORT CERTIFICATION

# GRANTEE SEMI-ANNUAL REPORT CERTIFICATION

Wisconsin's Community Development Block Grant Program

A. NAME OF GRANTEE
B. GRANT AGREEMENT #
C. BUSINESS NAME
D. REPORTING PERIOD ENDED

SUBMIT **ONE** COPY  
(unless it is being e-mailed or faxed)

SEMIANNUAL REPORT DOCUMENTS ATTACHED:	
	<i>Grantee Semiannual Report Certification</i>
	<i>Summary Narrative</i>
	<i>Semiannual Labor Standards Enforcement Report</i>
	<i>Business Matching Funds Journal (PFED Only)</i>
	<i>MBE/WBE Report</i>
	<i>Section 3 Report</i>

PREPARER CERTIFICATION	
I hereby certify that to the best of my knowledge and belief the contents in this report are true and correct.	
Signature	Date
Title	Telephone
Company	Email

GRANTEE APPROVAL	
Grantee Signature	Date



## ATTACHMENT 9-D: SUMMARY NARRATIVE INSTRUCTIONS

### Instructions:

1. Enter the name of the grantee and the CDBG contract number.
2. In the “Objectives” section, list **all** the activities identified for the reporting period in the CDBG contract “Timetable.” Do not insert additional objectives. In the “Accomplishments” section, describe the progress made on each objective, in detail, as well as any problems encountered and their resolution. Provide meaningful information such as names and dates of administration or contractors hired.
3. In the “Delayed Objectives” section, list **only** those activities that were to be accomplished in a previous report but had **not** been reported as completed. In the “Update” Section, describe the progress made, in detail, on each delayed objective, any problems encountered, and their resolution. **If all activities scheduled for previous reports have been completed, leave this section blank.**

## ATTACHMENT 9-E: SAMPLE – SUMMARY NARRATIVE FORM

A. NAME OF GRANTEE Village of Yourville
B. GRANT AGREEMENT # FY00-0000

THE REPORTING PERIOD	
OBJECTIVES	ACCOMPLISHMENTS
Commence Construction. Report construction start date.	Construction began _____. Sewer Main Construction, Inc. The subcontractor placed ____ inch pipes from ____ Street to ____ Street.
Complete construction site signage in Accordance with Section 2 of this Contract (for above-ground work).	Water mains were also placed, by _____. Construction from ____ Avenue to ____ Avenue. The required 4'X8' sign has been placed in front of the project site between ____ Street and ____ Avenue (see attached photo). The sign was installed on ____ (date).
Complete and describe Affirmative Fair Housing Action Committed in Grantee's application.	Fair housing posters have been displayed at all municipal offices on ____ (date), as well as the public library and Community Center. Fair housing information has also been made available in the same locations.

UPDATE ON PREVIOUS REPORTING PERIODS	
DELAYED OBJECTIVE	UPDATE
Continue construction. Describe progress and any delays.	Street repairs scheduled to be completed during the previous reporting period, but delayed due to adverse weather conditions, were completed during the current quarter.

## ATTACHMENT 9-F: TEMPLATE – SUMMARY NARRATIVE FORM

A. NAME OF GRANTEE
B. GRANT AGREEMENT #

THIS REPORTING PERIOD	
OBJECTIVES	ACCOMPLISHMENTS

UPDATE ON PREVIOUS REPORTING PERIODS	
DELAYED OBJECTIVE	UPDATE

## ATTACHMENT 9-G: SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT REPORT

### SEMI-ANNUAL LABOR STANDARDS ENFORCEMENT REPORT

Grantee: \_\_\_\_\_ CDBG Contract #: \_\_\_\_\_

Period Covered:

From (month/year) \_\_\_\_\_ to (month/year) \_\_\_\_\_

*(Report periods cover October 1 through March 31 and April 1 through September 30 and are **due to DOA with the Semi-Annual Reporting. Please follow the Grant Agreement deadlines included in the Attachments**)*

1. Enter total number of prime contracts **awarded this six (6) month period**, subject to Davis-Bacon and Related Acts (DBRA) and/or the Contract Work Hours and Safety Standards Act (CWHSSA). **Track contracts by award or start of construction – do not track by bid opening date.** Note: Do not report contract(s) from previous period in 1 – 3.  
\_\_\_\_\_

2. Enter the total dollar amount of prime contracts reported in Item 1 above. \_\_\_\_\_

3. List Employer/Project, Amounts, Wage Decision and Effective date (items 1 & 2):\*

Employer	Project Type(s)	Bidding Date	CDBG Related Contract Amount	Contract Award Date	Wage Decision & Modifications	Wage Decision Effective Date

4. Enter the number of employers (contractors, subcontractors, lower-tier subcontractors) against whom complaints, investigations or \$5.11 hearings were received during the reporting period (list the following information below):\*  
\_\_\_\_\_

<u>Employer</u>	<u>Project</u>	<u>HUD or DOL</u>	<u>Investigations Or Hearings</u>
-----------------	----------------	-------------------	-----------------------------------

5. Enter the information relative to wage restitution that was **collected and/or disbursed during this six (6) month period**. This includes restitution disbursed by the grantee, restitution reported on certified payroll correction report and amounts collected but not disbursed because workers could not be found.

- (a) Enter the total number of workers for whom wage restitution was collected and/or disbursed during this six (6) month period.  
\_\_\_\_\_

- (b) Enter the total amount of wage restitution collected and/or disbursed during this six (6) month period.  
\_\_\_\_\_

- (c) Enter the total amount of liquidated damages collected during this six month period for Contract Work Hours and Safety Standards Act overtime violations. (See Chapter 7: Labor Standards, *Attachment 7-I: Federal Labor Standards Provision (4010)*, B. (2) Violation; liability for unpaid wages; liquidated damages.)  
\_\_\_\_\_

Construction Start Date: \_\_\_\_\_

Is construction completed? Yes \_\_\_\_ No \_\_\_\_ Date of Completion: \_\_\_\_\_

\*Use additional pages if necessary

# CDBG-PF Implementation Handbook

## ATTACHMENT 9-H: MBE/WBE REPORT

### MBE/WBE REPORT Community Development Block Grant (CDBG) Program

DOA/DOH  
CDBG-Public Facilities Program  
PO Box 7970  
Madison, WI 53707-7970  
doadohcdbgcd@wi.gov  
Fax 608.266.5381



WISCONSIN DEPARTMENT OF  
ADMINISTRATION



Division of Housing  
housing.wi.gov

DOA AGREEMENT # \_\_\_\_\_

NAME OF GRANTEE \_\_\_\_\_

REPORTING PERIOD ☐ October 1, \_\_\_\_\_ - March 31, \_\_\_\_\_

☐ April 1 - September 30, \_\_\_\_\_

#### CONTACT INFORMATION

Name \_\_\_\_\_

Telephone \_\_\_\_\_

Email \_\_\_\_\_

Contractor/Subcontractor Name and Address 1a.				Amount of Contract or Subcontract 1b.	Type of Trade Code (See below) 1c.	Contractor or Subcontractor Business Racial/Ethnic (See below) 1d.	Woman Owned Business (Yes or No) 1e.	Sec. 3 (Yes or No) 1g.	Contractor/S ubcontractor FEIN # 1h.
Name	Street	City	State/Zip						

1c: Type of Trade Codes:

Housing/Public Housing:

1 = New Construction

2 = Education & Training

3 = Other

1d: Racial/Ethnic Codes:

1 = White Americans

2 = Black Americans

3 = Native Americans

4 = Hispanic Americans

5 = Asian/Pacific Americans

6 = Hasidic Jews

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## ATTACHMENT 9-I: SECTION 3 REPORT

### SECTION 3 REPORT Community Development Block Grant (CDBG) Program

DOA/DOH  
CDBG-Public Facilities Program  
PO Box 7970  
Madison, WI 53707-7970  
doahcdbgcd@wi.gov  
Fax 608.266.3381



WISCONSIN DEPARTMENT OF  
ADMINISTRATION



DOA AGREEMENT # \_\_\_\_\_

NAME OF GRANTEE \_\_\_\_\_

REPORTING PERIOD ☐ October 1 - March 31, \_\_\_\_\_

☐ April 1 - September 30, \_\_\_\_\_

#### CONTACT INFORMATION

Name \_\_\_\_\_

Telephone \_\_\_\_\_

Email \_\_\_\_\_

Part I: Employment and Training			
Job Category	Number of New Hires	Number of New Hires that are Section 3 Residents	Number of Section 3 Trainees
Professionals			
Technicians			
Office/Clerical			
Construction			
Trade			
Trade			
Trade			
Other			

Part II: Contracts Awarded	
<b>1. Construction Contracts</b>	
A. Total Dollar Amount of all contracts awarded on the project	\$
B. Total dollar amount of contracts awarded to Section 3 businesses	\$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving contracts	
<b>2. Non-Construction Contracts</b>	
A. Total Dollar Amount of non-construction contracts awarded on the project	\$
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$
C. Percentage of the dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving non-construction contracts	

Part III: Best Efforts
Describe the Grantee's best efforts to give training and employment opportunities to LMI residents and/or businesses _____
_____
_____
_____

## ATTACHMENT 9-J: REPORTING REQUIREMENTS CHECKLIST

SEMI-ANNUAL REPORTS				
Form:		<b>PLEASE NOTE:</b> These forms are: <ul style="list-style-type: none"> <li>• Due semi-annually as indicated in your CDBG Agreement.</li> <li>• To be completed &amp; submitted by the local Grant Administrator.</li> </ul>		
9-A	<i>Semi-Annual Report Certification</i>			
9-B	<i>Summary Narrative</i>			
9-C	<i>Labor Standards Enforcement Report</i>			
9-D	<i>MBE/WBE Report</i>			
9-E	<i>Section 3 Report</i>			
LABOR STANDARDS				
Form:		Completed by:	Due:	
7-C	<i>Labor Standards Officer Designee</i>	Grant Administrator	Upon execution of CDBG Agreement	
7-D	<i>Request for Wage Decision and Response to Request</i>	Labor Standards Officer	Prior to advertising for bids	
7-F	<i>Ten Day Wage Decision Status Check</i>	Labor Standards Officer	Prior to bid opening	
7-H	<i>Advertisement for Bids</i>	Chief Elected Official	Upon advertisement for a bid	
7-J	<i>Notice of Contractor Award</i>	Labor Standards Officer	Upon awarding contract(s)	
7-Q	<i>Section 5.7 Enforcement Report</i>	Labor Standards Officer	Upon finding any labor violations where underpayment is greater than \$1,000	
FINANCIAL MANAGEMENT				
Form:			Due:	
8-A	<i>Financial Management Contact Person</i>		Prior to executing the CDBG Agreement	
8-A	<i>Depository Certification</i>			
8-A	<i>Signature Certification</i>			
8-B	<i>Request for Payment</i>		With each request for CDBG funds	
8-C	<i>Cash Control Register (Up-to-date as of the Payment Request submission date)</i>			
8-D	<i>CDBG Disbursement Journal (Up-to-date as of the Payment Request submission date)</i>			
8-E	<i>Matching Funds Journal (Up-to-date as of the Payment Request submission date)</i>			
	<i>Supporting documentation (Invoices, cancelled checks, bank statements, etc.)</i>			
SINGLE AUDIT				
Form:		Completed by:	Submit to:	Due:
10-B/ 10-C	<i>Annual Audit Letter</i>	Grant Administrator	DOH Project Rep	January 15
	<i>Single Audit Report</i>	External auditor	1.) DOA Chief Accountant 2.) DOH Project Rep	Per the Grant Agreement Timeline

All reports are due to your assigned DOA-Division of Housing CDBG Project Representative unless otherwise indicated. Electronic submission of reports is preferred. Any additional required documents listed in the Implementation Manual (but which are not listed above) may be requested by your CDBG Project Representative at any time.

## **ATTACHMENT 9-K: GRANT AGREEMENT TIMETABLE**

**Insert a copy of your Grant Agreement Timetable here.**



ADDITIONAL NOTES: (optional)

## ADDITIONAL NOTES (continued): (optional)